

FORMALITIES LETTER


OC00000005123005

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/525,615	03/14/2000	David F. Sorrells	1744.0450003

STERNE KESSLER GOLDSTEIN & FOX P L L C
Attorneys at Law
Suite 600 1100 New York Avenue N W
Washington, DC 20005-3934



Date Mailed: 05/17/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/17/2000 CVORACHA 00000088 09525615

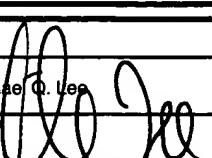
01 FC:105

130.00 0P

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000		Complete if Known	
<small>Patent fees are subject to annual revision. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB-09-12. See 37 C.F.R. §§ 1.27 and 1.28.</small>		<input checked="" type="checkbox"/> Application Number <input checked="" type="checkbox"/> Filing Date <input checked="" type="checkbox"/> First Named Inventor <input type="checkbox"/> Examiner Name <input type="checkbox"/> Group / Art Unit <input type="checkbox"/> Attorney Docket Number	09/525,615 March 14, 2000 David F. Sorrells (to be assigned) 2664 1744.0450003
TOTAL AMOUNT OF PAYMENT (\$ 130.00)			

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																																													
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to: Deposit Account Number 19-0036 Deposit Account Name Sterne, Kessler, Goldstein & Fox P.L.L.C. <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>130.00</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>690</td><td>246</td><td>345</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>690</td><td>249</td><td>345</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="6">Other fee (specify):</td></tr> <tr><td colspan="6">Other fee (specify):</td></tr> <tr><td colspan="6">*Reduced by Basic Filing Fee Paid</td></tr> <tr> <td colspan="2"></td> <td colspan="4">SUBTOTAL (3) (\$ 130.00)</td> </tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	130.00	127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))		149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify):						Other fee (specify):						*Reduced by Basic Filing Fee Paid								SUBTOTAL (3) (\$ 130.00)			
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																										
105	130	205	65	Surcharge - late filing fee or oath	130.00																																																																																																																																																																																										
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																											
139	130	139	130	Non-English specification																																																																																																																																																																																											
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																											
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																											
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																											
115	110	215	55	Extension for reply within first month																																																																																																																																																																																											
116	380	216	190	Extension for reply within second month																																																																																																																																																																																											
117	870	217	435	Extension for reply within third month																																																																																																																																																																																											
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																																																																											
128	1,850	228	925	Extension for reply within fifth month																																																																																																																																																																																											
119	300	219	150	Notice of Appeal																																																																																																																																																																																											
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																																											
121	260	221	130	Request for oral hearing																																																																																																																																																																																											
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																											
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																											
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																																											
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																											
143	430	243	215	Design issue fee																																																																																																																																																																																											
144	580	244	290	Plant issue fee																																																																																																																																																																																											
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																											
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																											
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																											
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																											
146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																											
149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																											
Other fee (specify):																																																																																																																																																																																															
Other fee (specify):																																																																																																																																																																																															
*Reduced by Basic Filing Fee Paid																																																																																																																																																																																															
		SUBTOTAL (3) (\$ 130.00)																																																																																																																																																																																													
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input checked="" type="checkbox"/> Other* "Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.																																																																																																																																																																																															
FEE CALCULATION																																																																																																																																																																																															
1. BASIC FILING FEE																																																																																																																																																																																															
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																										
101	690	201	345	Utility filing fee																																																																																																																																																																																											
106	310	206	155	Design filing fee																																																																																																																																																																																											
107	480	207	240	Plant filing fee																																																																																																																																																																																											
108	690	208	334	Reissue filing fee																																																																																																																																																																																											
114	150	214	75	Provisional filing fee																																																																																																																																																																																											
SUBTOTAL (1) (\$)																																																																																																																																																																																															
2. EXTRA CLAIM FEES																																																																																																																																																																																															
Extra	Fee from below	Fee Paid																																																																																																																																																																																													
Total Claims	- 20**	=	X	=																																																																																																																																																																																											
Indep. Claims	- 3**	=	X	=																																																																																																																																																																																											
Multiple Dependent																																																																																																																																																																																															
** or number previously paid, if greater; For Reissues, see below																																																																																																																																																																																															
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description																																																																																																																																																																																											
103	18	203	9	Claims in excess of 20																																																																																																																																																																																											
102	78	202	39	Independent claims in excess of 3																																																																																																																																																																																											
104	260	204	130	Multiple dependent claim																																																																																																																																																																																											
108	78	209	39	**Reissue independent claims over original patent																																																																																																																																																																																											
110	18	210	9	**Reissue claims in excess of 20 and over original patent																																																																																																																																																																																											
SUBTOTAL (2) (\$)																																																																																																																																																																																															

SUBMITTED BY		Complete (if applicable)		
Typed or Printed Name	Michael O. Lee	Reg. Number	35,239	
Signature		Date	7/14/00	Deposit Acct. User ID

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

8/3
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W., SUITE 600
WASHINGTON, D.C. 20005-3934

www.skgf.com

PHONE: (202) 371-2600 FACSIMILE: (202) 371-2540

sector \$

ROBERT GREENE STERNE
EDWARD J. KESSLER
JORGE A. GOLDSTEIN
SAMUEL L. FOX
DAVID K.S. CORNWELL
ROBERT W. EDMOND
TRACY-GENE G. DURKIN
MICHELE A. CIMBALA
MICHAEL B. RAY
ROBERT E. SOKOHL
ERIC K. STEFFE
MICHAEL O. LEE

STEVEN R. LUDWIG
JOHN M. COVERT*
LINDA E. ALCORN
RAZ E. FLESHNER
ROBERT C. MILLONIG
MICHAEL V. MESSINGER
JUDITH U. KIM
TIMOTHY J. SHEA, JR.
DONALD R. MCPHAIL
PATRICK E. GARRETT
STEPHEN G. WHITESIDE
JEFFREY T. HELVEY*

HEIDI L. KRAUS
JEFFREY R. KURIN
RAYMOND MILLIEN
PATRICK D. O'BRIEN
LAWRENCE B. BUGAISKY
CRYSTAL D. SAYLES*
EDWARD W. YEE
ALBERT L. FERRO*
DONALD R. BANOWIT
PETER A. JACKMAN
MOLLY A. McCALL
TERESA U. MEDLER

JEFFREY S. WEAVER
KRISTIN K. VIDOVICH
KENDRICK P. PATTERSON
DONALD J. FEATHERSTONE
GRANT E. REED
VINCENT L. CAPUANO
JOHN A. HARROUN*
MATTHEW M. CATLETT*
NATHAN K. KELLEY*
ALBERT J. FASULO II *
W. BRIAN EDGE*

KAREN R. MARKOWICZ**
SUZANNE E. ZISKA**
BRIAN J. DEL BUONO**
ANDREA J. KAMAGE**
NANCY J. LEITH**
TARJA H. NAUKKARINEN**

*BAR OTHER THAN D.C.
**REGISTERED PATENT AGENTS

July 14, 2000

WRITER'S DIRECT NUMBER:
(202) 371-2674
INTERNET ADDRESS:
mlee@skgf.com

Commissioner for Patents
Washington, D.C. 20231



Box Missing Parts

Re: U.S. Utility Patent Application
Appl. No. 09/525,615; Filed: March 14, 2000
For: Method, System, and Apparatus for Balance
Frequency Up-Conversion of a Baseband Signal
Inventors: Sorrells' *et al.*
Our Ref: 1744.0450003

Sir:

In reply to the "Notice to File Missing Parts of Application--Filing Date Granted," dated May 17, 2000, Applicants submit the following documents for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal Form PTO/SB/17 (*in duplicate*);
2. Copy of the Notice to File Missing Parts;
3. An original, executed Combined Declaration and Power of Attorney;
4. An original, executed Certificate under 37 C.F.R. § 3.73(b) with copy of Assignment attached;
5. An original, executed Power of Attorney from Assignee;

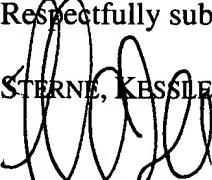
Commissioner for Patents
July 14, 2000
Page 2

6. Our Check No. 28067 for \$130.00 to cover the surcharge for late filing of Declaration (37 C.F.R. § 1.16); and
7. One return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. If extensions of time under 37 C.F.R. § 1.136 other than those otherwise provided for herewith are required to prevent abandonment of the present patent application, then such extensions of time are hereby petitioned, and any fees therefor are hereby authorized to be charged to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,


STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Michael Q. Lee
Attorney for Applicants
Registration No. 35,239